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Proposed revisions to the medium-term plan for the period 2002-2005

Programme 11
Human settlements

1. The preparation, format and content of the medium-term plan and its revisions are governed by the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (ST/SGB/2000/8).

2. Regulation 4.13 provides, inter alia, that the medium-term plan shall be revised as necessary every two years to incorporate required programme changes and that the proposed revisions shall be as detailed as necessary to incorporate the programme implications of the resolutions and decisions adopted by intergovernmental organs or international conferences since the adoption of the plan.

3. The revisions to the medium-term plan for the period 2002-2005 proposed in the annex reflect the merger of elements of subprogrammes 1 and 2 into a new subprogramme and the addition of three new subprogrammes as follows:

Subprogramme 1. Shelter and sustainable human settlements development;

Subprogramme 2. Monitoring the Habitat Agenda;

Subprogramme 3. Regional and technical cooperation;

Subprogramme 4. Financing human settlements.

The other elements of subprogrammes 1 and 2 are reflected in the new subprogrammes.

4. The proposed revisions reflect new legislative mandates adopted by the General Assembly subsequent to its adoption of the medium-term plan, such as the United Nations Millennium Declaration (resolution 55/2), the Declaration on Cities and Other Human Settlements in the New Millennium (resolution S-25/2) and resolution 56/206 on strengthening the mandate and status of the Commission on Human Settlements and the status, role and functions of the United Nations Centre for Human Settlements (Habitat), by which the Assembly transformed the Commission and the Centre, including the United Nations Habitat and Human

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Settlements Foundation, with effect from 1 January 2002, into the United Nations Human Settlements Programme, to be known as UN-Habitat.

5. Joint management, by the Global Division of the existing two subprogrammes — "Adequate shelter for all" and "Sustainable human settlements development" — has shown the close relationship between them and the need for better congruence between programme structure and administrative organizational structure. Shelter policies and programmes can be successfully implemented only within the context of coherent and broader human settlements policy frameworks, while shelter development is itself an integral part of sustainable human settlements development. Accordingly, it is proposed that the two existing subprogrammes be merged into one subprogramme, entitled "Shelter and sustainable human settlements development".

6. One of the implications of General Assembly resolution 56/206 is a strengthening of the role of UN-Habitat as the focal point within the United Nations system for the implementation of the Habitat Agenda. This role is to be performed in cooperation all other funds, programmes and agencies of the system. This momentum is in harmony with the endorsement given by the Commission on Human Settlements in its resolution 18/6 of 16 February 2001, to elevate the Urban Secretariat to a Research, Monitoring and Coordination Division, in order to strengthen the capacity of the UN-Habitat secretariat to assist and provide substantive support to the Governing Council in its task of reviewing, monitoring and assessing progress made in the implementation of the Habitat Agenda. These developments are reflected in the proposal to establish the new subprogramme 2, "Monitoring the Habitat Agenda".

7. One of the central functions of UN-Habitat is to provide advisory services and implement human settlements projects and programmes at the request of member States. The need to strengthen technical cooperation has been reiterated in numerous decisions of the Commission on Human Settlements and the General Assembly, most recently in General Assembly resolution 56/205 and in the Declaration on Cities and Other Human Settlements in the New Millennium, adopted by the Assembly at its twenty-fifth special session. Accordingly, a new subprogramme 3 is proposed under the title "Regional and technical cooperation".

8. In its resolution 56/206, the General Assembly devotes a full section to the issue of financing human settlements, and calls upon UN-Habitat to strengthen the primary operative objective of the United Nations Habitat and Human Settlements Foundation — that of supporting the implementation of the Habitat Agenda, including supporting shelter, related infrastructure development programmes and housing finance institutions and mechanisms, particularly in developing countries, as outlined in the annex to Assembly resolution 3327 (XXIX) on the establishment of the United Nations Habitat and Human Settlements Foundation. The capacity of UN-Habitat to leverage resources from donor countries and from other parts of the United Nations system for the provision of seed capital and the financing of operational human settlements projects and programmes, as well as developing appropriate and innovative approaches for financing its own projects and programmes, is expected to enhance the successful implementation of the Habitat Agenda. These issues will be addressed through the establishment of a new subprogramme 4, entitled "Financing human settlements".

9. Among the observations made in a number of evaluations of the United Nations Centre for Human Settlements (Habitat) over the past few years, including

those of the Office of Internal Oversight Services, has been that there was a lack of congruence between its programmatic and organizational structures. Responsibility for the implementation of individual subprogrammes has been scattered across a number of organizational entities (divisions and branches). Thus, the current adjustment of the organization of UN-Habitat and the proposed revisions to the 2002-2005 medium-term plan together provide an opportunity to address this problem of congruence between organizational structure and work programme.

10. The medium-term plan for the period 2002-2005 was adopted by the General Assembly in its resolution 55/234 of 23 December 2000 and issued as document A/55/6/Rev.1. The proposed programme budget for the biennium 2002-2003 is contained in documents A/56/6 and Corr.1 and Add.1 and 2 (Introduction, sects. 1-33 and Income sects. 1-3). It was revised and approved by the General Assembly in its resolutions 56/253 and 56/254 of 24 December 2001.

11. In the proposed revisions, new text to be inserted appears in boldface type, and text to be deleted appears in strikeout type. The proposed narrative for subprogramme 1 is to a large extent a combination of the text contained in the existing two subprogrammes. References to paragraphs of the two subprogrammes are provided where relevant. Explanations for the changes in the overall orientation and subprogramme are provided in italic type within brackets at the end of each paragraph. Subprogrammes 2 to 4 are completely new; the rationale for proposing them is set out above.

12. The Governing Council of the United Nations Human Settlements Programme provides oversight to the programme. Due to the biennial cycle of meetings of the Governing Council, the proposed revisions will be reviewed by the Committee of Permanent Representatives to UN-Habitat, which serves as the Governing Council's intersessional subsidiary body, in accordance with General Assembly resolution 56/206.

Annex

Proposed revisions to programme 11, Human settlements

Overall orientation

11.1 The overall purpose of the programme is to improve the living and working environment for all through more effective, participatory and transparent management and development of human settlements, within the overall objective of reducing urban poverty and social exclusion. The **main mandate of the programme is derived from the United Nations Conference on Human Settlements (Habitat II), in particular the Global Plan of Action of the Habitat Agenda, whose** goals ~~of the Habitat Agenda~~ are adequate shelter for all and the development of sustainable human settlements in an urbanizing world. The mandate of the programme ~~is derived~~ **also derives** from ~~the United Nations Conference on Human Settlements (Habitat II), in particular the Habitat Agenda, and~~ General Assembly resolutions **3327 (XXIX), by which the United Nations Habitat and Human Settlements Foundation was established,** 32/162, by which the United Nations Centre for Human Settlements (Habitat) was established and ~~43/181, by which the Assembly adopted the Global Strategy for Shelter to the Year 2000.~~ **56/206 of 21 December 2001, by which the United Nations Centre for Human Settlements (Habitat) was elevated to the United Nations Human Settlements Programme (UN-Habitat) under the intergovernmental guidance of a Governing Council, which reports to the Assembly through the Economic and Social Council. In addition,** the mandate ~~also~~ derives from the decisions of the relevant legislative bodies regarding Agenda 21 (chaps. 7, 21 and 28), ~~The main mandate is provided by the Global Plan of Action of the Habitat Agenda and by relevant resolutions of the General Assembly, (most recently resolutions 53/242 and 54/209) and~~ **as well as relevant resolutions** of the Commission on Human Settlements. ~~at its seventeenth session. The programme is under the intergovernmental guidance of the Commission on Human Settlements, which reports to the General Assembly through the Economic and Social Council.~~ *[changed to reflect new mandates]*

11.2 The strategy of the United Nations ~~Centre for~~ Human Settlements **Programme ~~(Habitat)~~ (UN-Habitat), while combining normative and operational activities, ~~will be~~ is** organized around ~~two~~ **four** subprogrammes corresponding to the ~~two~~ main ~~themes~~ **recommendations** of the Habitat II Conference and the Habitat Agenda, ~~: "Adequate Shelter for All" and "Sustainable Urban Development".~~ **the United Nations Millennium Declaration, especially its goal of achieving a significant improvement in the lives of 100 million slum-dwellers by the year 2020, and the Declaration on Cities and Other Human Settlements in the New Millennium.** ~~Each subprogramme will initially be spearheaded by a global campaign, the Campaign for Secure Tenure and the Campaign on Urban Governance respectively, which will combine normative and operational activities. Policy advice, capacity-building, legislative action, advocacy, and public awareness-building will be the main work methods. Through technical cooperation, the Centre will support developing countries in achieving the goals of adequate shelter for all and the development of sustainable human settlements, will evaluate, promote and monitor the implementation of the Global Plan of Action and will undertake the preparations for the special session of the General Assembly for the five-year review of the outcome of the United Nations Conference on Human Settlements (Habitat II).~~ **The subprogrammes are as follows**:

Subprogramme 1. Shelter and sustainable human settlements development;

Subprogramme 2. Monitoring the Habitat Agenda;

Subprogramme 3. Regional and technical cooperation;

Subprogramme 4. Financing human settlements.

[changed to reflect new mandates and restructuring of the Habitat secretariat]

11.3 Within the Secretariat, the overall responsibility for the programme is vested in t~~he Centre~~ **UN-Habitat. ~~It~~ The secretariat of UN-Habitat** will serve as the focal point for the implementation of the programme within the United Nations system and will work in coordination with the programmes of, among others, the Department of Economic and Social Affairs of the Secretariat, the Office of the United Nations High Commissioner for Human Rights, the Economic Commission for Africa, the Economic Commission for Europe, the Economic Commission for Latin America

and the Caribbean, the Economic and Social Commission for Asia and the Pacific, the Economic and Social Commission for Western Asia, the United Nations Development Programme, **the United Nations Office for Project Services**, the United Nations Children's Fund, the United Nations Environment Programme, the Office of the United Nations High Commissioner for Refugees, the United Nations Relief and Works Agency for Palestine Refugees in the Near East, the Food and Agriculture Organization of the United Nations, the World Health Organization, the World Bank, ~~and~~ the United Nations Industrial Development Organization, **the Global Environment Facility and the Joint United Nations Programme on HIV/AIDS.** *[changed to reflect new mandates and to update cooperation partners]*

Subprogramme 1
Shelter and sustainable human settlements development

11.4 With the accelerating process of urbanization, particularly in developing countries, shelter conditions for the world's urban poor have continued to deteriorate, compounding a cycle of poverty and marginalization. Central to resolving the challenge of urban poverty is replacing policies based on social and physical exclusion with the benefits of formally acknowledging the right of the poor to an adequate standard of living, which includes housing and basic services. In addition, as the world is rapidly urbanizing, cities are increasingly becoming both the loci and the engines of economic and social development. Improved urban governance (more effective participatory and sustainable development and management of cities) leads to more effective and efficient responses to urban problems, particularly urban poverty and social exclusion. *[text is derived from old paras. 11.4 and 11.9]*

Objective

11.5 The overall objective of the subprogramme is to improve the shelter conditions of the world's poor and to ensure sustainable human settlements development. *[text is derived from old paras. 11.5 and 11.10]*

Strategy

11.6 The responsibility for this subprogramme is vested in the Shelter and Sustainable Human Settlements Development Division. The subprogramme's main strategy will be global advocacy, focusing on two global campaigns: the Global Campaign for Secure Tenure and the Global Campaign on Urban Governance. In addition, training, organizational capacity-building and operational activities will be carried out within the context of the global campaigns. The campaigns, which combine normative debate, advocacy, capacity-building and knowledge management to achieve their goals, will together serve as an entry point to the subprogramme and will link operational and normative activities at all levels and establish norms of secure tenure and urban governance. A special feature of the strategy will be to focus on the role of women as active participants in the efforts to improve shelter conditions and urban governance. Other elements of the strategy will be:

(a) To promote policies, enabling strategies and delivery systems for housing, infrastructure and social services that are responsive to the need for adequate shelter and security of tenure;

(b) To strengthen the capacity at national and local levels to contribute to the planning, management and delivery of shelter, infrastructure and services in poor urban and rural settlements;

(c) To support developing countries in achieving the goals of adequate shelter for all and the development of sustainable human settlements through participatory, transparent and accountable local governance;

(d) To promote an improved urban environment, safer cities and disaster management through improved environmental planning and management, improved crime prevention and effective mitigation of and response to disasters. *[text is derived from old paras. 11.6 and 11.11, modified to reflect new mandates and restructuring]*

Expected accomplishments

11.7 Expected accomplishments will include:

(a) Improved tenurial rights;

(b) Higher quality housing for the poor, more reliable urban infrastructure and services, especially clean water, sanitation, waste management and public transport, as well as improved city environments and safer cities;

(c) Improved governance, including decentralization, social integration, inclusiveness, community participation, partnership, transparency, accountability, efficiency and effective local leadership, within the overall context of the Habitat Agenda goal of sustainable human settlements development in an urbanizing world; *[part of the text is derived from old paras. 11.7 11.12; the remainder is new and reflects new mandates and restructuring]*

Indicators of achievement

11.8 Indicators of achievement will include:

(a) The number of countries adopting national legislation for the granting and protection of tenure, recognizing women's tenurial rights, inheritance rights, introducing policies and procedures for more open and affordable land markets, and introducing measures and policies to reduce forced evictions;

(b) An assessment of progress made towards meeting the Millennium Declaration target of significantly improving the quality of life of at least 100 million slum-dwellers by the year 2020 through UN-Habitat-supported initiatives;

(c) The number of countries adopting national legislation to facilitate sustainable urban development and participatory, transparent and accountable urban governance. *[part of subparagraph (a) is derived from old subparagraph 11.8 (a); the remainder is new and reflects new mandates and restructuring]*

Subprogramme 2
Monitoring the Habitat Agenda [*new*]

11.9 One of the main responsibilities of UN-Habitat is monitoring the implementation of the Habitat Agenda, as provided for in section F of the Global Plan of Action (chapter IV of the Habitat Agenda), in particular paragraph 228. Such monitoring involves the global collection of information and data on progress made in attaining the twin goals of the Habitat Agenda, namely, adequate shelter for all and sustainable human settlements development in an urbanizing world; evaluation of the effectiveness of the human settlements policies and strategies recommended by the Habitat Agenda, including policies on gender and other cross-cutting issues; reporting of the monitoring and evaluation results to the General Assembly through the Governing Council of the United Nations Human Settlements Programme; and global dissemination of lessons learned, as well as of new and innovative policies and strategies, so as to improve human settlements policy and programme implementation at the national and local levels.

Objective

11.10 The overall objective of the subprogramme is to ensure that the implementation of the Habitat Agenda is effectively monitored and assessed.

Strategy

11.11 Responsibility for the subprogramme is vested in the Research, Monitoring and Coordination Division. The subprogramme's strategy will consist of three key elements:

(a) Coordination of the global collection, analysis and dissemination of data on human settlements conditions and trends, including the development of indicators for measuring the implementation of the Habitat Agenda and relevant parts of the United Nations Millennium Declaration and the Declaration on Cities and Other Human Settlements in the New Millennium and the development and maintenance of globally accessible databases;

(b) Global coordination of research-based assessments of the effectiveness of the policies and strategies recommended in the Habitat Agenda as necessary for attaining the Agenda's goals of adequate shelter for all and sustainable human settlements development in an urbanizing world, as well as the synthesis and dissemination of lessons learned, including through the preparation of major periodic reports and compilation of best practices;

(c) Research on the economic and financial dimensions of human settlements development, focusing on the development, testing and dissemination of new and innovative policies and strategies for addressing urban-regional and rural-regional concerns, as well as municipal finance, housing finance and urban poverty reduction and employment problems.

Expected accomplishments

11.12 Expected accomplishments will include:

(a) Improved reporting on progress made in the implementation of the two Habitat Agenda goals and increased knowledge of global shelter conditions and trends, including through the Global Report on Human Settlements and the State of the World's Cities report;

(b) Adoption by Governments and local authorities of new and innovative policies and strategies recommended by UN-Habitat on the economic and financial dimensions of human settlements development and management, including in the areas of urban and regional economy, municipal finance, housing finance, and poverty reduction and employment creation;

(c) Improved mainstreaming of gender issues and analysis into all programmes and activities of UN-Habitat and its partners.

Indicators of achievement

11.13 Indicators of achievement will include:

(a) The level of demand and use by Governments, other institutions and the public of the key monitoring outputs of UN-Habitat, such as statistical databases, human settlements indicators and periodic publications, including the Global Report on Human Settlements and the State of the World's Cities report, as reflected in country reports on the implementation of the Habitat Agenda;

(b) The number of Governments and local authorities adopting new and innovative policies and strategies recommended by UN-Habitat on the economic and financial dimensions of human settlements development and management, including in the areas of urban and regional economy, municipal finance, housing finance, and poverty reduction and employment creation;

(c) The number of projects and programmes supported by UN-Habitat and its partners incorporating a significant gender dimension.

Subprogramme 3
Regional and technical cooperation
[*new*]

11.14 Operational activities, namely, the provision of technical assistance to requesting countries in the form of operational projects and advisory services on human settlements issues, has been a key feature of the programme since the creation of the United Nations Centre for Human Settlements (Habitat) in 1978. With the adoption of the Habitat Agenda, operational activities have focused on assisting countries in implementing their national plans of action in pursuit of the main goals of adequate shelter for all and sustainable human settlements in an urbanizing world. Technical cooperation provides important feedback for use in policy formulation and the successful implementation of the global campaigns.

Objective

11.15 The overall objective of the subprogramme is to strengthen organizational and technical capacity at the national and local levels for the formulation and implementation of policies, strategies and programmes in accordance with the principles and commitments adopted in the Habitat Agenda.

Strategy

11.16 Responsibility for the subprogramme is vested in the Regional and Technical Cooperation Division. To achieve the objective, UN-Habitat combines normative and operational functions. The normative functions include setting standards, proposing norms and principles and describing best practices, built on experience gained through its two global campaigns — on secure tenure and on urban governance. The operational activities consist of policy formulation, capacity-building programmes and demonstration projects that support the normative work with field projects implemented in developing countries and countries with economies in transition.

11.17 The subprogramme's strategy consists of four key elements:

(a) Establishing and maintaining effective relationships with Governments and other Habitat Agenda partners;

(b) Providing advisory services and implementing technical cooperation projects and programmes in the area of human settlements;

(c) Coordinating advocacy activities within the respective regions, particularly in the context of the global campaigns;

(d) Promoting the development of partnerships for project implementation.

Expected accomplishments

11.18 Expected accomplishments will include:

(a) Increased numbers of slum-dwellers benefiting from UN-Habitat-supported slum upgrading programmes;

(b) An increased number of cities implementing UN-Habitat-supported city development strategies;

(c) Enhanced national and local capacity in implementing improved disaster management strategies and programmes, including post-conflict and post-disaster reconstruction on the basis of UN-Habitat guidelines.

Indicators of achievement

11.19 Indicators of achievement will include:

(a) An assessment of the progress made towards meeting the Millennium Declaration target of significantly improving the quality of life of at least 100 million slum-dwellers by the year 2020 through UN-Habitat-supported initiatives;

(b) The number of cities implementing UN-Habitat-supported city development strategies;

(c) The number of countries and local authorities implementing improved disaster management strategies and programmes on the basis of UN-Habitat guidelines, including post-conflict and post-disaster interventions.

Subprogramme 4
Human settlements financing [*new*]

11.20 Domestic resource mobilization as well as sound national policies for human settlements have long been recognized as crucial for financing shelter and human settlements. The United Nations Habitat and Human Settlements Foundation was established by the General Assembly in its resolution 3327 (XXIX) as an international facility to assist in strengthening national human settlements programmes, particularly in the developing countries, through the provision of seed capital and the extension of the technical and financial assistance necessary to permit the effective utilization of domestic resources for housing finance and related infrastructure, including slum improvement.

11.21 For various reasons the Foundation has not been fully playing its role as a global source of seed capital. One of the reasons has been the limited level of the resources mobilized; another is the increasing tendency of donors to earmark their contributions for specific programmes, projects or activities. In its resolution 56/206, the General Assembly called upon the Executive Director of UN-Habitat to strengthen the Foundation in order to achieve its primary operative objective, and to continue her fund-raising appeals and initiatives for a substantial increase of Foundation resources. The Assembly also invited Governments to increase their contributions to the Foundation to enhance the capacity of UN-Habitat to support the implementation of the Habitat Agenda and the Declaration on Cities and Other Human Settlements in the New Millennium.

Objective

11.22 The main objective of this subprogramme is to increase funds from international and domestic sources in support of shelter, related infrastructure development programmes and housing finance institutions and mechanisms, particularly in developing countries.

Strategy

11.23 The responsibility of this subprogramme is vested in the United Nations Habitat and Human Settlements Foundation. The strategy is to leverage financial resources from international and domestic sources to strengthen housing finance institutions and mechanisms and to support human settlements projects and programmes. A particular feature of the strategy during the medium-term plan period will be to stimulate innovative approaches to pre-investment and project preparation in human settlements activities while drawing on the

accumulated experience of both the public and private sectors for mobilizing financial resources for human settlements projects and strategic partnerships. Other elements of the strategy are:

(a) Strengthening the Foundation in its role as an international facility for the financing of human settlements development through the provision of seed capital;

(b) Facilitating the mobilization of financial resources for human settlements development from domestic sources, including private sector financial institutions and strengthening national and local capacity in housing and municipal finance;

(c) Promoting and facilitating the mobilization of financial resources from international sources, including United Nations agencies, the World Bank, regional development banks and bilateral donors, for human settlements development in general and slum upgrading in particular, in accordance with the Millennium Declaration target of significantly improving the lives of at least 100 million slum-dwellers by 2020.

Expected accomplishments

11.24 The expected accomplishments will include:

(a) Strengthening of the United Nations Habitat and Human Settlements Foundation as an effective institution in the United Nations system for the global mobilization of financial resources for human settlements development, particularly in the developing countries;

(b) An increase in the financial resources for human settlements development and housing finance institutions leveraged by the Foundation from domestic sources in developing countries and countries with economies in transition;

(c) Increased allocation of financial resources for human settlements development by international and regional financial institutions.

Indicators of achievement

11.25 Indicators of achievement will include:

(a) The impact and efficiency of the Foundation in providing financial resources for shelter and sustainable human settlements development;

(b) The level of financial resources for sustainable human settlements development leveraged by the Foundation from domestic sources, including the public, private and non-governmental sectors;

(c) The level of financial resources leveraged by the Foundation from organizations and bodies (bilateral and multilateral) within and outside the United Nations system, including the World Bank and regional development banks, for the provision of seed capital and for the financing of operational human settlements projects and programmes.

Legislative mandates

Programme 11
Human settlements

General Assembly resolutions

~~S3/180 Special session of the General Assembly for an overall review and appraisal of the implementation of the Habitat Agenda~~

~~54/207 Preparations for the special session of the General Assembly for an overall review and appraisal of the implementation of the Habitat Agenda~~

~~54/208 Implementation of the outcome of the United Nations Conference on Human Settlements (Habitat II)~~

~~54/209 Follow-up to the United Nations Conference on Human Settlements (Habitat II)~~

55/2 United Nations Millennium Declaration

56/95 Follow-up to the outcome of the Millennium Summit

56/205 Special session of the General Assembly for an overall review and appraisal of the implementation of the outcome of the United Nations Conference on Human Settlements (Habitat II)

56/206 Strengthening the mandate and status of the Commission on Human Settlements and the status, role and functions of the United Nations Centre for Human Settlements (Habitat)

56/207 Implementation of the first United Nations Decade for the Eradication of Poverty (1997-2006), including the proposal to establish a world solidarity fund for poverty eradication

Commission on Human Settlements resolutions

~~17/7 Revitalization of the Habitat Centre~~

~~17/17 International cooperation for the implementation of the Habitat Agenda~~

~~17/20 Work programme and budget of the United Nations Centre for Human Settlements (Habitat) for the biennium 2000-2001~~

~~17/22 Cooperation between the United Nations Centre for Human Settlements (Habitat) and the United Nations Environment Programme~~

18/4 Implementation of General Assembly resolution 53/242 and cooperation between the United Nations Centre for Human Settlements (Habitat) and the United Nations Environment Programme

18/6 Work programme and budget of the United Nations Centre for Human Settlements (Habitat) for the biennium 2002-2003